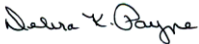
 <p>POLICIES AND PROCEDURES</p> <p>State of Tennessee Department of Intellectual and Developmental Disabilities</p>	Policy #: 80.4.1	Page 1 of 6
	Effective Date: June 29, 2015	
	Distribution: B	
Policy Type: Community/Waiver	Supersedes: P-014 (9/26/08), 80.4.1 (7/6/12)	
Approved by:  Debra K. Payne, Commissioner	Last Review or Revision: April 8, 2015	
Subject: PROGRAM PARTICIPANT EXPERIENCE SURVEYS		

- I. **AUTHORITY:** Tennessee Code Annotated (TCA) Section 4-3-2708, TCA 33-1-302(a), TCA 33-1-303(3), TCA 33-1-305, TCA 33-3-101, TCA 71-6-103 (b)(1) and Medicaid Home and Community Based Services Waiver.
- II. **PURPOSE:** This policy outlines the process for conducting program participant experience surveys for individuals receiving services through a Home and Community Based Services (HCBS) waiver program administered by the Department of Intellectual and Developmental Disabilities (DIDD) or through an Intermediate Care Facility for Persons with Intellectual Disability (ICF/IID) operated by DIDD.
- III. **APPLICATION:** This policy applies to all DIDD staff, service providers and individuals who are responsible for conducting program participant experience surveys.
- IV. **DEFINITIONS:**
 - A. **Adult Protective Services** shall mean the unit within the Department of Human Services which has the statutory authority to receive and investigate reports of abuse, neglect, and exploitation of adults age 18 and over who are unable to protect themselves from abuse, neglect or exploitation.
 - B. **Home and Community Based Services (HCBS) waiver or waiver** shall mean a waiver approved for Tennessee by the Centers for Medicare and Medicaid Services (CMS) to provide services to a specified number of Medicaid eligible individuals who have an intellectual disability and who meet Medicaid criteria for reimbursement in an Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID). The HCBS waivers for individuals with intellectual disabilities in Tennessee are operated by the DIDD with oversight from TennCare, the state Medicaid agency.
 - C. **Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID)** shall mean, for the purposes of this policy, a licensed facility approved by Medicaid reimbursement that provides specialized services for individuals with intellectual disabilities or related conditions and that complies with current federal standards and confidential requirements.

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D. **Program Participant** shall mean an individual who is receiving HCBS waiver services or an individual who is receiving services in state-operated Intermediate Care Facility for Individuals with Intellectual or Developmental Disabilities.

E. **Program Participant Experience Survey** means the process by which the experience of individuals who receive HCBS waiver services or ICF/ID services is assessed through face-to-face interviews with the program participant or through other means (e.g., telephone interview, mail-in questionnaire) approved by DIDD.

V. **POLICY:** DIDD shall conduct annual program participant experience surveys. These surveys shall be performed on a sample of individuals receiving HCBS waiver services and individuals receiving services in state-operated Intermediate Care Facilities for Persons with Intellectual Disability (ICFs/IID).

VI. **PROCEDURES:**

A. Survey Purpose

The purpose of the survey is to assess the experience of individuals who receive HCBS waiver services or ICF/IID services. The results of the surveys shall be used to identify participant problems and concerns, to make appropriate referrals for resolution, and to identify opportunities for quality improvement.

B. Survey Instruments

1. Interviewers will use nationally recognized and validated survey instruments (e.g., approved by the Centers for Medicare and Medicaid Services) to capture program participant experiences of care and quality of life data and to measure person-centered outcomes. Survey questions may be added to the survey instrument to address state and/or departmental specific needs.
2. Survey questions may include, but are not limited to, the following key areas of concern: employment, individual rights, level of satisfaction, respect/dignity, access to care, service planning, community inclusion, choice, and health and safety.
3. DIDD will review and modify, if needed, survey questions on an annual basis.

C. Sampling Methodology

1. A stratified random sampling process shall be used to generate a list of program participants to be interviewed.

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- a. The sample shall be stratified by county within each DIDD region, by program type (HCBS waiver versus ICF/IID) and by HCBS waiver type.
- b. The sample shall be drawn from individuals who receive HCBS waiver services or who reside in a state-operated ICF/IID.
2. DIDD may adjust the size of the sample to assure an appropriate stratified random sample.

D. Contracting for the Program Participant Surveys

DIDD may contract with an outside entity (e.g., non-profit community agency or a state or private university) to perform the program participant experience surveys.

E. Responsibilities of the Contractor

The contractor selected to perform the program participant experience surveys shall:

1. Solicit and screen survey interviewers;
2. Require each interviewer to sign a confidentiality agreement upon being hired;
3. Provide interviewer training as a part of new employee orientation and on an annual basis, including training in:
 - a. How to recognize and report suspected abuse, neglect, or exploitation;
 - b. How to report complaints through the DIDD Complaint Resolution system;
 - c. Program participant rights, including Title VI of the Civil Rights Act of 1964; and
 - d. Interview techniques, including communication skills.
4. Utilize standardized interview procedures and protocols;
5. Use a nationally-tested survey instrument approved by DIDD to assess the program participants' experience with HCBS waiver and/or ICF/IID services;
6. Schedule program participant interviews;

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7. Accurately record and report survey findings to DIDD;
8. Notify DIDD of any survey responses requiring referral or follow-up in accordance with time lines established by DIDD;
9. Prepare an annual program report; and
10. Perform other survey-related activities as designated by DIDD.

F. Interviewer Recruitment and Selection

1. The contractor shall recruit and select survey interviewers.
 - a. The contractor shall encourage a diverse group of candidates (e.g., individuals with developmental disabilities, family members, or individuals with experience working with individuals with developmental disabilities) to apply for interviewer positions.
 - b. To create a large pool of candidates from which interviewers can be selected, the contractor may utilize marketing and advertising techniques including, but not limited to, the following:
 - i.) Sending interviewer job announcements by email or other means to family members, stakeholders, and program participants;
 - ii.) Notifying management, staff, and board members of agencies serving people with developmental disabilities of interviewer job opportunities;
 - iii.) Sending interviewer job announcements to advocacy and other organizations which serve people with developmental disabilities; and
 - iv.) Attending developmental disability meetings or conferences and providing notice of interviewer recruitment activities.
2. As part of the interview process, applicants may be required to demonstrate their interviewing and/or computer skills.

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G. Program Participant Interviews

1. Interviewers shall conduct interviews face-to-face with the program participant or shall obtain information through other means (e.g., telephone interview, mail-in questionnaire) approved by DIDD.
2. Participation in the DIDD Program Participant Experience Survey is voluntary. Program participants have the right to refuse to be interviewed.
 - a. Permission of the conservator or provider agency is not required if the program participant is age 18 or older and agrees to be interviewed (unless the Order of Conservatorship specifically allows such restrictions).
 - b. If the program participant is under 18 years of age, the guardian must be present during the interview.
3. Interviews shall be scheduled at the convenience of the program participant.
 - a. Interviews may be scheduled for the evening or on weekends, as well as during the day.
 - b. Interviews may be conducted in the program participant's home or at other locations convenient for the program participant and the interviewer.
4. Interviewers may conduct individual focused follow-up surveys to assess resolution of problems or issues identified during the interview process.
 - a. Focused follow-up surveys may be conducted at any time and do not require advance notice.
 - b. The scope of a follow-up survey may be expanded if new problems or issues are identified during the follow-up survey.

H. Abuse, Neglect, Exploitation and Complaints Involving Other Issues

1. Reporting of Problems
 - a. Tennessee Code Annotated Section 71-6-103 (b)(1) requires reporting of any instance of suspected abuse, neglect, or exploitation of an adult or vulnerable person.

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- b. If an interviewer believes that a program participant is in immediate jeopardy due to abuse, neglect, exploitation, or unsafe living conditions, the interviewer shall immediately contact Adult Protective Services (APS) and DIDD.
- c. If the program participant has a complaint that does not qualify as abuse, neglect, or exploitation, the interviewer shall report the complaint in accordance with the DIDD procedures for reporting complaints.

2. Resolution of Problems

DIDD shall attempt to resolve all reported issues within 30 calendar days; however, occasionally an issue may require a longer period for resolution due to the nature and complexity of the issue.

I. Prohibition of Retaliation

- 1. Retaliation of any type is prohibited against a program participant, service provider staff, or DIDD staff because the program participant:
 - a. Was involved in a survey interview; or
 - b. Reported abuse, neglect, or exploitation or reported a complaint or problem.

VII. **CQL STANDARDS:** 4d, 10a, 10b

VIII. **REVISION HISTORY:** June 13, 2012; April 8, 2015

IX. **TENNCARE APPROVAL:** April 9, 2015

X. **ATTACHMENTS:** None